

## Designation of Exempt Person (9E) Record

This record is required by any bank that wishes to designate a customer as an exempt person for purposes of CTR reporting. In addition, banks must use this record for the biennial renewal of exempt person designation of eligible non-listed businesses and payroll customers. This record is also used to revoke the designation of a customer as an exempt person. The following data elements are required for this record:

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	Enter '9E'.
3-7	Transaction Sequence Number	5	Enter a sequential number, increment by 1 for each '9E' record on the file.
8	Type of Transaction	1	Enter:  'A' if Initial Designation 'B' if Biennial Renewal
9	Exemption status	1	Enter:  'A' if Exemption Amended 'B' if Exemption Revoked
10-44	Business or Sole Proprietor Name	35	Enter the full, legal name of the business being exempted, or the complete last name/first name of the sole proprietor being exempted.
45-79	DBA Name	35	Enter a separate 'doing business as' name.
80-114	Exempt Person Street Address	35	Enter the street address of the exempt person.
115-141	Exempt Person City	27	Enter the city of the exempt person.
142-143	Exempt Person State	2	From the attachment, enter the appropriate 2 character state code.
144-152	Exempt Person Zip Code	9	Enter the zip code of the exempt person.
153-154	Exempt Person Country Code	2	Enter the country code of the exempt person.
155-163	TIN of Exempt Person	9	Enter the Taxpayer Identification Number of the exempt person.
164	Exemption Basis Indicator	1	Enter the appropriate code for the basis of the exemption:  'A' - Bank 'B' - Government Agency/Authority 'C' - Listed Company 'D' - Listed Company Subsidiary 'E' - Eligible Non-Listed Business 'F' - Payroll Customer

## Designation of Exempt Person (9E) Record - (continued)

Field Position	Field Name	Length	Description and Remarks
165-172	Effective Date of Exemption	8	Enter the date the exemption is effective. It is a numeric 8 digit field in century, year, month, day format (CCYYMMDD).
173	Exemption Change Indicator	1	If Eligible Non-Listed Business or Payroll Customer only. Enter 'A' if there has been a change in control of the exempt person. If no change has occurred, enter 'B'.
174-187	Document Control Number	14	This field contains all zeroes on initial submissions, <b>but must contain the DCN</b> (which is provided by the DCC on the acknowledgment record) for each corrected or updated record.
188	Replacement Indicator	1	Enter 'R' if this transaction is a replacement or correction to a previous transaction. A DCN must be entered in positions 172-185.
189-210	Filler	22	
211-220	User Field	10	